

OCT. 6. 2004 4:50PM

HOWREY] SIMON-WHITE

NO. 670 P. 1



1299 PENNSYLVANIA AVENUE, N.W.  
WASHINGTON, DC 20004-2402  
PHONE: 202.783.0800 • FAX: 202.383.6610

## FACSIMILE COVER SHEET

DATE: October 6, 2004

TO: NAME: Commissioner for Patents

COMPANY: U.S. Patent and Trademark Office

FAX NUMBER: 703-746-9195 PHONE NUMBER: \_\_\_\_\_

CITY: Alexandria, VA

FROM: NAME: Michael J. Stimson

DIRECT DIAL NUMBER: 202-383-6906 USER ID: 2382

NUMBER OF PAGES, INCLUDING COVER: 11 CHARGE NUMBER: 00322.0008.CPUS01

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☐ REGULAR MAIL ☐ OVERNIGHT DELIVERY ☐ HAND DELIVERY ☐ OTHER: \_\_\_\_\_

☒ ORIGINAL WILL NOT FOLLOW

## SUPPLEMENTAL MESSAGE:

Re: U.S. Patent Application Serial No. 10/753,069  
Filed: January 8, 2004  
For: Systems and Methods for Trading Actively Managed Funds  
Inventors: WEBER et al.  
Attorney Docket No: 00322.0008.CPUS01

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IF THERE ARE ANY QUESTIONS OR PROBLEMS WITH THE TRANSMISSION OF THIS FACSIMILE, PLEASE CALL 202.383.7137.



WRITER'S DIRECT DIAL  
202-383-6906

October 6, 2004

WRITER'S EMAIL ADDRESS  
[Stimsonm@howrey.com](mailto:Stimsonm@howrey.com)

**Via Facsimile to (703) 746-9195**

**Confirmation No. 5428**

Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: U.S. Continuation-in-Part Patent Application  
Appl. No. 10/753,069; Filed: January 8, 2004  
For: **Systems and Methods for Trading Actively Managed Funds**  
Inventors: Clifford WEBER *et al.*  
Our Ref: 00322.0008.CPUS01

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Request for Corrected Official Filing Receipt;
2. Copy of Combined Declaration and Power of Attorney for Patent Application executed by Gary L. Gastineau; and
3. Copy of USPTO date stamped return postcard dated June 2, 2004.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 08-3038, referencing the above docket number. *A duplicate copy of this letter is enclosed.*

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Michael J. Bell'.

Michael J. Bell (Reg. No. 39,604)  
Michael J. Stimson (Reg. No. 45,429)

Enclosures



WRITER'S DIRECT DIAL  
202-383-6906

October 6, 2004

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[Stimsonm@howrey.com](mailto:Stimsonm@howrey.com)

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Michael J. Bell (Reg. No. 39,604)

Michael J. Stimson (Reg. No. 45,429)

Enclosures

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  
Clifford WEBER *et al.*

Appl. No. 10/753,069

Filed: January 8, 2004

For: Systems and Methods for  
Trading Actively Managed Funds

Art Unit: To be assigned

Examiner: To be assigned

Attorney Docket: 00322.0008.CUS01

Confirmation No. 5428

**Request for Corrected Official Filing Receipt**

***Via Facsimile (703) 746-9195***

Commissioner for Patents  
Alexandria, VA 22313-1450

Sir:

Applicants hereby request that a corrected Official Filing Receipt be issued and sent to the undersigned representative. Specifically, the following corrections to the Official Filing Receipt are requested:

Please correct inventor Gary L. Gastineau's address to read "Sport Hills, NJ" instead of Sport Hith, NY."

In support of the above request, a photocopy of the instant Official Filing Receipt is enclosed with the corrections noted thereon. Also enclosed is a copy of the inventor Gastineau's executed Combined Declaration and Power of Attorney form that was filed in the USPTO on June 2, 2004 and a copy of the USPTO date stamped return postcard. It is therefore believed proper that a corrected Official Filing Receipt be issued, reflecting the correction of all the above-noted errors. It is further requested that the corrected Official Filing Receipt be sent to the undersigned at the earliest possible time.

It is submitted that this submission is necessitated as a result of an error by the U.S. Patent and Trademark Office. Therefore, it is believed that no fees are due in connection with this submission. However, the U.S. Patent and Trademark Office is hereby authorized to charge

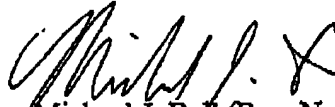
Commissioner for Patents

Appl. No. 10/753,069

Page 2

any fee deficiency, or credit any overpayment, to Deposit Account No. 08-3038, referencing docket number 00322.0008.CPUS01.

Respectfully submitted,



Michael J. Bell (Reg. No. 39,604)

Michael J. Simson (Reg. No. 45,429)

Date: October 6, 2004

Customer No. 22930

HOWREY SIMON ARNOLD & WHITE, LLP

2941 Fairview Park Drive, Box 7

Falls Church, VA 22042

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## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
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APPL NO.	FILING OR 371 (a) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/753,069	01/08/2004	3621	3574	00322.0008.CPUS01	9	73	23

CONFIRMATION NO. 5428

22930

HOWREY SIMON ARNOLD & WHITE LLP  
BOX 34  
1299 PENNSYLVANIA AVENUE NW  
WASHINGTON, DC 20004

UPDATED FILING RECEIPT



\*OC000000012962777\*

Date Mailed: 06/16/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Clifford J. Weber, Basking Ridge, NJ;  
Carol Alexander, Surrey, UNITED KINGDOM;  
Jason MacQueen, Bath, UNITED KINGDOM;  
Charles A. Baker, Wayne, PA;  
Gary L. Gastineau, Sport Hill, NJ;  
Terry Norman, Barling Magna, UNITED KINGDOM;

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DOCKET DEPT.  
HOWREY SIMON ARNOLD & WHITE

JUN 16 2004

WASHINGTON, D.C.

## Domestic Priority data as claimed by applicant

This application is a CIP of 09/536,663 03/27/2000 \*  
and is a CIP of 09/536,258 03/27/2000 \*  
and is a CIP of 09/815,589 03/23/2001 \*  
and is a CIP of 10/123,779 04/16/2002  
and is a CIP of 10/174,505 06/17/2002

(\*)Data provided by applicant is not consistent with PTO records.

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## Foreign Applications

UNITED KINGDOM 0206440.0 03/18/2002

If Required, Foreign Filing License Granted: 04/12/2004

Projected Publication Date: 09/23/2004

Non-Publication Request: No

DOCKETED

Simon 6/18/04

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**Early Publication Request: No**

**Title**

Systems and methods for trading actively managed funds

**Preliminary Class**

705

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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Atty. Ref.: 00322.0008.CPUS01  
(former (00322.0006.CPUSXX))  
Date: June 2, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: C. WEBER *et al.*  
Serial No.: 10/753,069  
Filing Date: January 8, 2004  
Title: Systems and Methods for Trading Actively Managed Funds

Art Unit: To be assigned  
Examiner: To be assigned

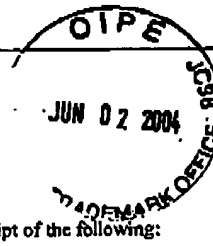
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Alexandria, VA 22313-1450

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4. Combined Declarations and Powers of Attorney executed by the inventors (5 Dec/POA's total);
5. Check No. 416931 in the amount of \$3,574.00; and
6. Return postcard.

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